

# **EXHIBIT 3**

Ruth Duarte, Ruth

## ST. BARNABAS HOSPITAL BRONX, NEW YORK

## Fordham-Tremont Community Mental Health Center

JOB DESCRIPTION/PERFORMANCE EVALUATION

DEPARTMENT: David Casella Children Services  
 POSITION TITLE: Clinician  
 REPORTS TO: Clinical Supervisor  
 DATE REVISED: June, 2009

NAME: Ruth Duarte DATE: \_\_\_\_\_  
 September 13, 2011  
 DOB: \_\_\_\_\_ Last evaluation: \_\_\_\_\_ Next evaluation due: 9/2012

**PRINCIPAL MISSION:** Provides comprehensive and integrated mental health services to the clients participating in the David Casella Children's Services (DCCS). Comply with the Fordham-Tremont Community Mental Health Center's policies and procedures as well as applicable regulatory agencies. Promote and participate in creating an environment of cultural diversity and competency.

**PRINCIPAL DUTIES AND RESPONSIBILITIES** **RATING (1 - 3)**

|   |     |
|---|-----|
| 1. Interviews and evaluates clients;  | 2   |
| 2. Gathers, analyzes and evaluates data collected relating to the client's psychosocial problems, current mental status and functioning.  | 2.5 |
| 3. Completes Intake Assessments according to the intake coverage schedule and as requested by the Clinical Supervisor.  | 2   |
| 4. Completes diagnostic evaluations and develops treatment plans acting collaboratively with the client and the treatment team in order to define goals, outcomes and time frames for treatment.  | 1.5 |
| 5. Follows-up with clients who fail to appear for appointments and documents the results of that follow-up.   | 2   |
| 6. Carrics a caseload at an acceptable level as defined in the Center's or Program's service commitments and productivity goals.<br>Maintains a complete and accurate medical record for each client in accordance with Medical Records Policy and Procedure. This includes: <ul style="list-style-type: none"> <li>• Documenting within 24 hours each face-to-face or telephone contact with the client and/or collateral in the client's medical record.</li> </ul> Progress notes should directly communicate if the goals established | 2.5 |
|   | 1.5 |



|   |  |     |
|---|--|-----|
| in the treatment plan are being attained. |  |     |
| •   | Completes if necessary documents to ensure client's visits have been registered and billable   | 1   |
| •   | Updating treatment plans every 90 days and obtaining all necessary signatures.   | 1.5 |
| •   | Completing transfer and termination summaries, reports, forms, letters and other written materials in accordance with established policy and procedure to ensure the goals and objectives of the treatment plan are attained.  | 2   |
| •   | Documenting any requests from other agencies for information contained in a client's record.   | 2   |
| 7.  | Meets weekly or more frequently if necessary, with the Clinical Supervisor for clinical and administrative supervision and to review and discuss any issues related to the services being provided.  | 1   |
| 8.  | Maintains networking and referral contacts with other mental health/social service providers.  | 2   |
| 9.  | Interacts with other staff members of the Center and with community agencies in a professional manner. Refers conflicts which cannot be resolved to the Clinical Supervisor for proper disposition.  | 2   |
| 10.                                       | Attends staff meetings, case conferences and Center-wide meetings as required.   | 1   |
| 11.                                       | Participates on appropriate committees and handles special projects as assigned.   | 2   |
| 12.                                       | Identifies professional goals and enhances job related skills through participation in staff development activities.   | 2   |
| 13.                                       | Makes presentations at case conferences as assigned.   | 1.5 |
| 14.                                       | Participates in chart reviews/audits, including the Program's utilization review activities, as assigned.  | N/A |
| 15.                                       | Demonstrates knowledge of and sensitivity to the age of the clients being served.  | 2   |
| 16.                                       | Promote a safe, cooperative and professional health care environment to ensure optimum patient care. (as per HR Policy 113c)   | 2.5 |
| 17.                                       | Adheres to all hospital policies, procedures, rules and regulations, including but not limited to absenteeism, ETIME, cellular telephone usage, dress code, rules of conduct and annual health assessment.   | 2   |
| 18.                                       | Makes Customer Service a priority, treating customers (patients, visitors and co-workers) in a professional manner exercising courtesy and tact. Effectively communicates with patients and others SBH services in their area(s) of expertise or responsibility and ensures questions or issues reach the right person(s) in a timely manner | 2   |
| 19.                                       | Ensure all documents adhere to Legibility in the Medical Record policy.  | 2   |
| 20.                                       | Performs other related duties as assigned.   | 2   |

The above statements reflect the general duties considered necessary to describe the principle functions of the job as identified, and shall not be considered as a detailed description of all work requirements that may be inherent in the job.

**QUALIFICATIONS:**

**A. Education and License(s) Required**

MSW, LMSW or LMSW eligible, PhD in Psychology with current license.

**B. Experience/Skills Required**

1. Ability to maintain accurate records and to interpret information.
2. Ability to integrate psychological theory, research and practice.
3. Excellent communication skills.
4. Support channel of communication within program and with appropriate directors.
5. Ability to organize and prioritize multiple tasks effectively.
6. Willingness to work cooperatively to support and achieve Department/Program and Center goals and objectives.
7. Ability to accept responsibility for tasks assigned.
8. Ability to work professionally and cooperatively with a multidisciplinary team approach.
9. Demonstrated cultural competence and ability to work as a team member.
10. Demonstrated ability to work with a multi-disciplinary team approach demonstrated ability to coordinate managed care activities and interface with other managed care providers.
11. Ability to organize, prioritize multiple tasks effectively and use discretionary time effectively.
12. Ability to work under pressure to meet deadlines and/or audit reviews.
13. Ability to counsel and provide support to clients and/or collaterals.
14. Working knowledge of current word processing software required.
15. Experience with other applications preferred and the ability to learn new computer programs as necessary.
16. Ability to speak Spanish strongly preferred.

#### **WORKING CONDITIONS:**

Has own office

## JOB HAZARDS:

### Note

**APPROVED BY:**

Chuino / malcom  
Department Head

10/24/11  
Date

Fordham-Tremont / Executive Director  
Vice President, St. Barnabas Hospital

Date

## Human Resource Manager

Dear

REVIEWED BY

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**Director of Human Resources**

• Date

## PERFORMANCE EVALUATION

A number 1, 2, or 3 should be entered in the rating code box next to each job duty and responsibility listed on the previous pages to indicate the level of performance, which is most consistently demonstrated by the employee.

#### EVALUATION RATING DEFINITIONS

### 1: Exceeds Standard

- Exceed all performance standards
- Recognized expert
- Extremely accurate
- Exceptional knowledge

### 2: Meets Standard

- Meets performance standards
- Few errors
- Requires normal supervision
- Capable in all responsibilities

### 3: Does Not Meet Standard

- Does not meet performance standards
- Frequent errors
- Requires heavy supervision
- Unreliable in completing job assignments

### EVALUATION RATINGS

Comments should be written to explain the reason(s) for a rating above or below level 2 on any duty:

See attached \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Recommended action for improvement of items below standard:

See attached \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Overall evaluation of performance (Rate 1-3 and explain):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Employee's hire date: \_\_\_\_\_ Date entered present position: \_\_\_\_\_

Status: Full Time (x) Part Time ( ) Other ( )

Attendance: Satisfactory (x) Unsatisfactory ( )

Number of absent occurrences or tardiness during evaluation period: \_\_\_\_\_

Date of Last Evaluation: \_\_\_\_\_ 10/2010 \_\_\_\_\_

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FTCMHC DOCS

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Type of evaluation: Probation ( ) Annual (x) Other ( )

## Probationary Evaluation:

( ) Retain employee in present position  
( ) Employee did not pass probation

Re-evaluation on \_\_\_\_\_ Date \_\_\_\_\_

## Annual Evaluation:

(x) Retain employee in present position  
( ) Employee's performance is marginal

Re-evaluation on 9/2012 Date

## Performance Evaluation Signature:

M. Lopez, RN, BSN

Evaluator

9/13/11

Date

Office of Human Resources

Department Head

10/24/11

Date

I certify that I have not been excluded, debarred or declared otherwise ineligible for participation in any federal health care programs or in any federal procurement or non-procurement programs and that I have not been convicted of any crime (other than minor traffic infractions) since the date of my last evaluation.

I have reviewed the foregoing evaluation and I accept the evaluation(s) written (except as indicated by my comments below).

Ruth R. Diversi See  
Employee Rebuttal  
Attached

11/10/11

Date

## Comments by employee:

See attached (Rebuttal)

1700 im

St. Barnabas Hospital - Age Specific Competency Validation  
EMPLOYEE NAME: Ruth Work DATE: 9-13-01

Demonstrates the minimum knowledge, critical thinking and interpersonal skills for the following patients:

| TASK   | Neonatal (0-1) |             | Pediatric (2-12) |             | Adolescent (13-18) |             | Adult (19-65) |             | Geriatric (66&Up) |             | Comment |
|--|----------------|-------------|------------------|-------------|--------------------|-------------|---------------|-------------|-------------------|-------------|---------|
|  | Method         | Performance | Method           | Performance | Method             | Performance | Method        | Performance | Method            | Performance |         |
| Knowledge of growth and development  |                |             | 2,3              | 5           | 2,3                | 5           | 2,3           | 5           |                   |             |         |
| Ability to assess age-specific data  |                |             | 2,3              | 5           | 2,3                | 5           | 2,3           | 5           |                   |             |         |
| Ability to interpret age-specific data   |                |             | 2,3              | 5           | 2,3                | 5           | 2,3           | 5           |                   |             |         |
| Ability to provide age-specific response in treatment                                    |                |             | 2,3              | 5           | 2,3                | 5           | 2,3           | 5           |                   |             |         |
| Ability to involve family and/or significant other(s) in decision making related to plan |                |             | 2,3              | 5           | 2,3                | 5           | 2,3           | 5           |                   |             |         |

The age specific standards outlined above specifically define the special needs of the patients served by the named employee. A satisfactory performance indicates the employee is competent in the duties and responsibilities that support these standards. An unsatisfactory performance will be reflected in the overall performance rating of the employee and indicates the need for additional training, education, etc. Dates of training will be documented.

Performance: Satisfactory/Unsatisfactory (Circle One)

Method of Validation: 1. Quiz 2. Skills demonstration/Direct observation 3. Verbalized knowledge 4. Other

Employee's Signature

## Dats

Evaluators Signature/Title

ST. BARNABAS HOSPITAL  
MANDATORY IN-SERVICE TRAINING  
(ATTACH TO PERFORMANCE EVALUATION)

Ruth R. Duarte, Clinician

Name of Employee \_\_\_\_\_ Job Title \_\_\_\_\_

3005

**Department**

By my signature below, I hereby certify that I have completed the following annual mandatory in-service training during the last 12 months and all were understood by me. Training may include live presentations, video or audio sessions, literature review or any combination of the foregoing.

- Infection Control (including blood borne pathogens and respiratory)
- Safety (including fire/electrical, disaster plan, hazardous waste/material/radiation, restraints, etc.)
- Quality Assessment/Quality Improvement
- Risk Management
- Abuse Recognition & Reporting (including patient, child, elder and domestic; and employee: sexual harassment and discrimination)
- Patients' Rights (including confidentiality, computer access and advance directives)
- Corporate Compliance

[ ] Other \_\_\_\_\_

7. 20.11

Date

Signature of Supervisor

730

Date

Please note that any employee who has not completed any of the mandatory in-service training programs must be scheduled to attend the next session for each incomplete program. A revised copy of this form must be forwarded to Human Resources upon completion.

SBH000344

Ruth Duarte  
Yearly Evaluation  
October 4, 2011

Ms. Duarte has completed another year at DCCS where she has demonstrated to be comfortable in her role as a clinician. Ms. Duarte has continued to demonstrate that she is a serious employee who is committed in completing her job responsibilities on a daily basis. For example: she submits her work in a timely manner and maintains her records in good standing. Due to cultural and language challenges Ms. Duarte at times struggles with grammatical errors, however, she makes great effort to correct her work. She takes initiative in personalizing her work by developing user friendly ways to monitor her work through the use of computers.

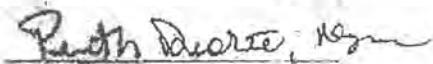
Ms. Duarte attends supervision on a weekly basis and does not hesitate to ask questions that address client's progress in treatment. As in previous years, an area of concern continues being Ms. Duarte's difficulty engaging and working with resistant families. There have been incidents where Ms. Duarte is perceived by clients as lacking sensitivity and understanding in her approach to them. This issue has lead families to request a change of therapist on a number of occasions. This area will continue being monitored in supervision. In addition, supervisor will assist Ms. Duarte in identifying outside workshops to enhance her awareness in this area. Other areas of growth which will be closely monitored in supervision include:

- \*To continue to meet her service commitment on a consistent basis.
- \*To continue enhancing her clinical skills.

Ms. Duarte also needs to pursue her license as it is a requirement of the agency.

We look forward in continuing to work with Ms. Duarte.

  
Mila's Area LCSW-R  
Assistant Director

  
Ruth Duarte, MSW  
Clinician  
See Attached Rebuttal

Edgardo Quinones, LCSW-R  
Division Director of Youth and Family Services

SBH000345

TTD/ATD/MS

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